

GUIDE TO DISSERTATION PREPARATION
GRADUATE SCHOOL
EMPORIA STATE UNIVERSITY

A Guide for
Writing a Dissertation
for
the Doctor of Philosophy Degree
in the School of Library and Information Management

FALL 2011

The dissertation demonstrates a candidate's ability to conduct scholarly work and to generate new knowledge. It is with the dissertation that the candidate demonstrates the ability to conduct independent investigations. The dissertation is a major step in the journey of scholarly life, presenting credentials and establishing a research agenda. As such, it is the object of intense work and scrutiny. The effort and scrutiny are the arena of the candidate and dissertation committee. The *Guide to Dissertation Preparation* is intended to facilitate the mechanics of construction of the dissertation documents and to make the dissertation appropriate for presentation to the broader academic community.

DISSERTATION COMMITTEE

Each candidate will work with a dissertation committee composed of at least three competent members (terminal degree required): one from the School of Library and Information Management, one from the student's concentration area, and one from outside SLIM. Chairs will be selected from the SLIM faculty or faculty from an ESU defined concentration department (Instructional Design Technology, Information Systems). The dissertation committee is formally appointed by the Dean of the School of Library and Information Management after consultation with the candidate, the doctoral program Coordinator, and the Dean of the Graduate School.

As the Doctor of Philosophy degree is awarded by the University, the Dean of the Graduate School represents the University and takes an active role in the dissertation process. The dissertation committee gives primary guidance and approval to the concepts and presentation of the research in conjunction with the Coordinator of the doctoral program and the Dean of the School of Library and Information Management. Upon recommendation of the dissertation committee and approval of the Dean of the School of Library and Information Management, the Dean of the Graduate School affixes the University's approval to the written presentation of the dissertation.

ENROLLMENT IN DISSERTATION CREDITS

Doctoral students must complete 15 hours of dissertation credit, then enroll in at least 3 credits each semester until the dissertation proposal is completed or until 8 years after admission to the doctoral program have expired. Dissertations are expected to contribute new knowledge to the field through original research. Upon completion of the dissertation, all students defend their research during an oral examination conducted and evaluated by the dissertation committee. The oral examination is open to the public.

APPROVALS TO CONDUCT RESEARCH

In order to ensure the quality of the dissertation and to be in compliance with appropriate regulations, the candidate must receive prior approval for research components which use human or other vertebrate animals as research subjects. Application materials are available from the Research and Grants Office, located in Plumb Hall 313. Students should consult with their committee chair about obtaining the required clearances from the following boards or committees:

- a) Institutional Review Board for Treatment of Human Subjects.
This board was established to enforce federal regulations enacted by the Secretary of Health, Education and Welfare in 1976. It is the responsibility of the Board to determine those individuals serving as subjects not be placed "at risk due to their involvement in research projects." An individual is considered to be "at risk" if exposed to the possibility of injury, including physical, psychological or social injury as a consequence of participation as a subject in any research, development, or related activity. A Human Subjects Training Module must be completed and a quiz taken to receive approval from the Institutional Review Board. Please contact the Research and Grants Office should you have questions concerning this module and quiz. A Human Subjects Training Module must be completed and a quiz taken to receive approval from the Institutional Review Board. Please contact the Research and Grants Office should you have questions concerning this module and quiz.

- b) Institutional Animal Care and Use Committee.
To assure compliance with the Public Health Service Policy (PHS) on Humane Care and Use of Laboratory Animals, the University has formed an Institutional Animal Care and Use Committee. It is the responsibility of the Committee to insure that all individuals involved in testing, research, and training with animals act in accordance with principles outlined by the PHS.

DISSERTATION PROPOSAL

The dissertation proposal is the formal document in which the candidate describes the research project, establishes its significance, and outlines the method to be used. The proposal is not intended to be a detailed outline of the actual dissertation; it is only a prospectus.

The candidate will discuss the research project with the dissertation committee members. After passing the qualifying examinations, the candidate will formally submit the proposal to the Dean of the School of Library & Information Management and the Dean of the Graduate School. Once all appropriate signatures have been acquired, a proposal form will be filed with the Graduate School.

The dissertation is written while the student is enrolled in LI 947 Dissertation Proposal. To ensure a minimal delay in the official acceptance of the proposal, it is the student's responsibility to discuss the proposal with dissertation committee members and deans prior to submitting the proposal.

PROPOSAL ACCEPTANCE FORM

Name of Student _____

Title of Dissertation _____

Signatures:

Dean of the School of Library and Information Management

Dean of the Graduate School and Distance Education

Committee Member (Chair)

Committee Member

Committee Member

Doctoral Candidate

DISSERTATION DEFENSE

The dissertation defense is a traditional forum in which the candidate presents the research for public scrutiny. The actual format and timing of the defense will be decided by each individual dissertation committee in conjunction with the doctoral program coordinator. The general format of the defense is as follows:

- *closed meeting of the faculty committee with the candidate.
- *discussion among faculty committee without the candidate.
- *vote on acceptance
- *faculty committee meeting with student to discuss vote and changes.
- *public presentation scheduled by the committee in consultation with the candidate.

Any changes required by the dissertation committee are to be made in a timely manner and then reviewed by the dissertation committee. Upon that approval, a copy of the dissertation is to be submitted to the Graduate School for final assurance of structural quality.

The dissertation is to be in final draft form, though not bound, at the time of the defense or final oral examination. After the defense or final oral examination, changes required by the dissertation committee are to be made and a copy submitted to the Graduate School for final reading by the Dean of the Graduate School. After all corrections have been made, the electronic copy should be sent as an attachment to kermier@emporia.edu and need not contain departmental signatures. It should be the same as the hard-copy manuscript that is submitted, without the signature page.

SUBMISSION OF DISSERTATION

The candidate must submit one unbound final copy of the dissertation to the Graduate School. The cost to have the dissertation digitized is \$65.00 (This may change based upon the publication option chosen) and must be paid with a money order made payable to PQIL. Student will be required to complete the form required by ProQuest for digitizing the dissertation. The Graduate School will deliver the dissertation, money order, and ProQuest form to the Library and they will be responsible for providing the department with a bound copy and submitting the thesis for digitization to ProQuest. Any questions concerning the digitization process should be directed to the Library. The Graduate School will take care of requests for personal bound copies. The cost is \$20.00 per set plus sales tax. If personal copies are desired, students must provide one unbound copy for each personal copy requested. These copies should be submitted by the candidate at the time the one copy required by the University is submitted.

DISSERTATION REQUIREMENTS

1. The original copy of the dissertation must be on 20 pound bond paper (must be white with no background pattern).
2. A candidate should obtain approval on the selection of the printer. Acceptable printers must produce a letter quality product.
3. Photographs in all copies of the dissertation must be photographic prints of the original. However, charts, graphs and maps should be photocopied providing that the copies are clear.
4. Margins for the text of the dissertation must be 1 1/2 inches for the left margin, and 1 inch for the top, bottom, and right hand margins.
5. Style manual to be used is: American Psychological Association (2001). Publication manual (5th ed). Washington, D.C.: The Association.
6. Correct assembly (order and pagination) is shown below.
 - a. Blank Sheet
 - b. Proposal Acceptance Form with all signatures*
 - c. Abstract (do not number)*
 - d. Title Page*
 - e. Approval Sheet *(Roman numerals for page #)
 - f. Acknowledgment* (Roman numerals for page #)
 - g. Table of Contents *(Roman numerals for page #)
 - h. List of Tables (Roman numerals for page #)
 - i. List of Figures (Roman numerals for page #)
 - j. Chapters
 - k. References
 - l. Appendices (not required)
 - m. Permission to Copy Statement*
 - n. Blank Sheet

* Examples attached.

NOTE: Unless otherwise noted, all pages must be submitted with the dissertation for approval by the Dean of the Graduate School

**AN ABSTRACT OF THE DISSERTATION
FOR THE DEGREE DOCTOR OF PHILOSOPHY IN THE
SCHOOL OF LIBRARY AND INFORMATION MANAGEMENT**

(Name of student)

presented on _____

Title: _____

Abstract approved: _____

(Chair)

(A succinct summary of the dissertation not to exceed 350 words.)

MULTIMEDIA: ITS EFFECT ON INFORMATION TRANSFER

by

Leslie B. Dixson (1)

Emporia, Kansas

May 1997

A Dissertation

Presented to

EMPORIA STATE UNIVERSITY

In Partial Fulfillment

of the Requirements for the Degree

Doctor of Philosophy

The School of Library and Information Management

(1) Please use full name as you normally use it on official documents.

Example of Doctoral approval sheet

Dean of the School of Library
And Information Management

Committee Member Name (Chair)

Committee Member Name

Committee Member Name

Dean of the Graduate School and Distance
Education

ACKNOWLEDGMENTS

My deepest thanks to my dissertation chair, Dr. Bud Gardner, for all the help he gave me in completing this dissertation. I also thank the other members of my committee, Dr. Thelma Smith, Dr. Sam Jones, and Dr. Pat White, for their continued support.

I will be ever grateful for the love of my parents, my children, and especially my spouse. Without you all being there, this dissertation would never have been completed.

These samples are offered as a guideline. **Dissertations may have different components.**

Sample #1 - without detail

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Example of "Permission to Copy Statement"

(This statement, with all information and signatures, must be included in each copy of the dissertation submitted to the Graduate School.)

I, (name of author), hereby submit this dissertation to Emporia State University as partial fulfillment of the requirements for a doctoral degree. I agree that the Library of the University may make it available for use in accordance with its regulations governing materials of this type. I further agree that quoting, photocopying, or other reproduction of this document is allowed for private study, scholarship (including teaching) and research purposes of a nonprofit nature. No copying which involves potential financial gain will be allowed without written permission of the author.

Signature of Author

Date

Title of Dissertation

Signature of Graduate School Staff

Date Received

FINAL CHECK

The following errors have often been found in dissertations. As an aid in quality control, the following checks are available for the candidate's use. Please also consult APA (4) checklist. Proofread your manuscript carefully.

1. An abstract cannot exceed 350 words.
2. Check page numbering
 - a. All pages must have a number, except blank or copyright pages (counted but not numbered). Lower-case Roman numerals are used in preliminary pages, while Arabic numerals are used in the remainder of the manuscript.
 - b. The student is responsible for ensuring that the pages of the manuscript are in correct numerical order.
 - c. Make sure all pages are included.
3. Check for errors in table of contents and check lists of tables, figures, etc. for incorrect page numbers; titles that do not exactly match the headings used in the manuscript (capitalization, punctuation, and wording); or incorrectly indicated subdivision. Make sure you are consistent.
4. Errors in text references.
 - a. All text references must be listed in the references section at the end of the manuscript.
 - b. Names and dates appearing in the text must exactly match those in the references.
 - c. When there are multiple authors of a publication, all of them must be cited on first reference, after which *et al.* may be used.
5. Matters of style
 - a. The manuscript may not have any visible corrections.
 - b. The last word on a page may not be hyphenated and carried over to a new page.
 - c. The final line of a paragraph may not be placed at the top of a page, nor may the first line of a paragraph be the last line on a page.
 - d. All chapter, section, and table headings more than one line long must be single-spaced.
 - e. References in the reference list must be single-spaced, with a double space between entries.
6. Margin errors.

The left margin must be one and one-half inches wide to permit binding of the pages. All other margins are one inch wide.

7. Title of first chapter does not correspond with table of contents.
The manuscript's first chapter must have a title that corresponds with the table of contents.

8. Errors in grammar and punctuation.
 - a. Lack of subject-verb agreement, especially in sentences in which the subject is singular, but the object of a prepositional phrase is plural (e.g., A group of students was surveyed is correct).
 - b. Misuse of comma and semicolon, e.g., omitting the comma in a series of three or more items connected with and or, using however as a conjunction and omitting the semicolon before however.
 - c. Ellipsis indicated incorrectly; an ellipsis is indicated by three spaced periods (plus sentence-ending punctuation, if applicable).
 - d. Incorrect typing of the hyphen (one character strike) and the dash (two unspaced hyphens); no spaces should be used before or after these punctuation marks.
 - e. Faulty parallelism in sentence construction.
 - f. Dangling or misplaced modifiers; other errors in noun modification.
 - g. Misuse of commonly confused words, e.g., affect and effect, principal and principle, etc.
 - h. Misplacement of periods and commas in quoted material; periods and commas are always placed inside quotation marks; colons and semi-colons are placed outside.
 - I. Incorrect verb tense changes within sentences and paragraphs.
 - j. Appositive and other nonrestrictive phrases are always set off by commas.
 - k. Restrictive clauses, those that cannot be left off without changing the sentence, may never be set off with commas.
 - l. Restrictive and nonrestrictive clauses are distinguished by the use of "that" and "which," respectively.
 - m. Misuse of the colon; colons follow only completed phrases, i.e., Jones (1991) explains it clearly:...Not Jones (1991) states:
 - n. Confusion of the interrogative form with the indicative, i.e., My research sought to find out whether ..., not if.
 - o. One-sentence paragraphs. A paragraph should contain a minimum of two sentences.
 - p. Extra spacing or not enough spacing between words and sentences.
 - q. Inconsistent typing of headings for each chapter. Chapter headings and numbers must all be upper case or the first letters capitalized, followed by lower case.
 - r. Failure to arrange dissertation pages in the prescribed order.
 - s. The "Permission to Copy" page must be completed and submitted with each copy of the dissertation.

- t. Poor quality of duplicated materials-lines, shading, shadowing, etc. All photocopies must be of legible quality.
- u. Submitting the dissertation without the required signatures.
- v. Each table or figure must have a heading and must be on its own separate page.
- w. Partial/incomplete sentences.
- x. Use of "who" and "that." "Who" refers to a person and "that" does not.
- y. When deciding to use "which" or "that," "which" is used when it is with a phrase that can be set off by commas.
- z. Overuse of the word "that." This makes for awkward reading. The correct format is "The man said he was going home," not "The man said that he was going home."

USE OF COPYRIGHTED MATERIALS

Candidates writing dissertations should note the following guidelines for the use of copyrighted materials. Generally, authors may make limited use of short passages from copyrighted materials, if they give proper credit to the owner of the copyright. Extensive use of copyright materials, however, requires the permission of the copyright owner.

The use of tables, graphs, figures, or illustrations from a copyrighted work is not generally considered a limited use, and permission of the owner should be obtained before any of these are used in a thesis or dissertation. Usually, the publisher can grant permission to quote excerpts from a copyrighted work; if not, the publisher can refer you to the owner of the copyright.

Permission is often granted to use copyrighted material in scholarly works without any payment or compensation to the copyright owner. However, a copyright owner may charge for any permission granted. If permission is obtained, a letter or release from the copyright owner must be included in an appendix in the manuscript, and an acknowledgment of the copyright owner should be included in the acknowledgments preceding the dissertation.

Plagiarism. Plagiarism is copying entire passages, either verbatim or nearly verbatim, without directly acknowledging the source of these passages. Outright plagiarism needs no exemplification: researchers who copy know that they are liable to the severest academic penalties, and perhaps to civil penalties as well.

All scholars should keep in mind the following requirements:

1. When material is quoted, it is quoted exactly as it appears in the original, mistakes and all. Any additions, deletions, or alterations are clearly signaled by brackets or ellipses, as indicated in style manuals.
2. The acknowledgment of material quoted from or paraphrased from a single passage includes the page number(s) on which the passage appears in the original document.
3. Data not commonly available are never cited without a clear indication of their source.
4. Terminology or phraseology that is not common in literature is not used without proper acknowledgment.
5. Changing a few words in a source to avoid the necessity of quotation marks is at best amateurish scholarship, and at worst outright plagiarism.

Falsification of data. The national press, as well as academic publications, have reported cases in which researchers deliberately falsified their data or used data they knew were unreliable. Obviously, this practice is unethical; it erodes public confidence in scientific and scholarly investigation.

Researchers themselves must be the primary custodians of their own integrity in these matters, but faculty supervisors must be reasonably cautious about endorsing student work if they have any doubt of its authenticity. It is important, of course, for faculty members and students to establish mutual trust so that research can be conducted and reported frankly and freely. However, when violations of this trust are discovered by supervising faculty or by other knowledgeable persons, the violation will be regarded as serious academic misconduct. Discovery of falsified data or plagiarism by any candidate will result in the degree not being granted and other appropriate measures.

Dissertation Due Dates

Fall 2011

- November 21, 2011 Single copy of the thesis approved by the department with departmental signatures due in the Graduate School, ready for review by the Dean of the Graduate School.
- December 9, 2011 Final corrected thesis copy, Proquest registration materials, money order order or cashier's check, and personal copies if desired with payment due in the Graduate School.

Spring 2012

- April 20, 2012 Single copy of the thesis approved by the department with departmental signatures due in the Graduate School, ready for review by the Dean of the Graduate School.
- May 4, 2012 Final corrected thesis copy, Proquest registration materials, money order order or cashier's check, and personal copies if desired with payment due in the Graduate School.

Summer 2012

- July 13, 2012 Single copy of the thesis approved by the department with departmental signatures due in the Graduate School, ready for review by the Dean of the Graduate School.
- July 27, 2012 Final corrected thesis copy, Proquest registration materials, money order order or cashier's check, and personal copies if desired with payment due in the Graduate School.

Fall 2012

- November 16, 2012 Single copy of the thesis approved by the department with departmental signatures due in the Graduate School, ready for review by the Dean of the Graduate School.
- December 7, 2012 Final corrected thesis copy, Proquest registration materials, money order order or cashier's check, and personal copies if desired with payment due in the Graduate School.